

**Department of Finance –
Division of Service**



**Functional Analysis
&
Records Disposition Authority**

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Department of Finance – Division of Service

Sources of Information

- Representatives of the Department of Finance – Division of Service
- Code of Alabama, 1975 § 41-4-1 to § 41-4-17 (Department of Finance – General Provisions)
- Code of Alabama, 1975 § 41-4-30 to § 41-4-38 (Director of Finance)
- Code of Alabama, 1975 § 41-4-180 to § 41-4-186 (Division of Service)
- Alabama Government Manual (2006), pp. 44-48
- Department of Finance Audit Reports
- Division of Service Website

Historical Context

The Department of Finance was established in 1939 as a statutory department to manage and control all matters pertaining to fiscal affairs, except those duties assigned to other agencies. The Division of Service is a division of the Department of Finance.

Agency Organization

The Division of Service is a division of the Department of Finance and functions under the direction, supervision, and control of a Chief of Service, who is appointed by the Director of Finance, with the approval of the Governor. The division may employ as many personnel as may be necessary to carry out the duties of the office.

Agency Function and Subfunctions

The division is responsible for a wide range of infrastructure operations. These operations include, but are not limited to, the following: central supply, fleet management, central mail room, state building and space management, and shop services.

In the performance of its mandated functions, the division may engage in the following subfunctions:

- **Providing Services.** The Code of Alabama 1975 § 41-4-180 authorizes the division to provide a wide range of general services for state government entities. They may include:

Central Mail Room: The division is obligated, under the authority of the Code of Alabama 1975 § 41-4-180(1), to operate a central mail room to provide mail pick up, delivery, and processing services to state agencies. These services include the processing of interagency mail and all outbound mail for all state agencies located in Montgomery.

Fleet Management: Legislative Act No. 471 placed the responsibility of operating a state motor pool with the Department of Finance. The purpose of the motor pool is to provide transportation, fuel, maintenance, and other related services to state agencies and employees who do not have automobiles regularly assigned to them.

State Building and Space Management: The Code of Alabama 1975 § 41-4-180(4) authorizes the division to manage, supervise, maintain, repair, improve, light, heat, and clean the Capitol and all buildings/property owned or leased by the state in Montgomery. In addition, the division may allocate, with the approval of the Governor, space in the Capitol and in all buildings owned or leased by the state in Montgomery for use by state agencies. These buildings may include the Archives and History Building, the Alabama State House, the Public Safety Building, the Lurleen B. Wallace State Office Building, the Judicial Building, the Public Health Building, the Folsom Administrative Building, and the Gordon Persons Building. In order to fulfill its duties, the division operates the following technical shop services: carpenter shop, electric shop, grounds shop, heating and air shop, paint shop, and plumbing shop.

- **Administering Internal Operations.** A significant portion of the division's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Division: Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Department of Finance – Division of Service

Agency Record Keeping System

The Department of Finance – Division of Service operates a hybrid system composed of a computer system and a paper record-keeping system. The Fleet Management System Database is used by the staff of the division to reserve, assign, and track vehicles leased by state agency personnel for business related trips. State employees may reserve a vehicle via the division's website. After the vehicle is returned, the system calculates mileage and amount to be invoiced. The system also has a component to track the inventory of tires, parts, and batteries purchased and used. The Office of State Buildings and Space Management (OSBSM) maintains a database (Lease Track) of all leases processed by the office. The database is utilized for monitoring and reporting purposes. In the central mail room, a combination of Session 4 and Business Manager systems are used by the staff for mail processing, tracking, and reporting.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Division of Service: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **Reports/surveys documenting the state's fulfillment of the requirements of the U. S. Department of Energy relating to the alternative fueled vehicles purchased by the state.** The U.S. Energy Policy Act of 1992 (EPAct) was passed by Congress to reduce our nation's dependence on petroleum by requiring certain fleets to acquire alternative fuel vehicles (AFV), which are capable of operating on non-petroleum fuels. Compliance is required by state governments that operate, lease, or control 50 or more light-duty vehicles within the country. Covered fleets are required to acquire a certain percentage of AFVs each year when adding new vehicles to their fleets. The state reports its acquisition activity to the Department of Energy each year. A 3-year retention for this series should be sufficient for reference needs.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Providing Services

- **State Capitol Building Historical Files.** This series contains important historical background research information on the renovation of the building during the early 1990s. They may include text documents, clippings, photos, slides, blueprints, drawings, specifications, and other related materials collected for the renovation project. The files

should be preserved to supplement other records maintained by Alabama Historical Commission and the Department of Archives and History. **(Bibliographic Title: State Capitol Building Historical Files)**

Administering Internal Operations

- **Website.** The division has a website at www.sd.alabama.gov. Information on the website includes inventory of supplies and procedures to order them, online vehicle requests, and mail operation procedures. The website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**

Permanent Records List

Department of Finance – Division of Service

Providing Services

1. State Capitol Building Historical Files

Administering Internal Operations

1. Website

Department of Finance – Division of Service Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Division of Service, Department of Finance. The RDA lists records created and maintained by the Division of Service in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Division of Service to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Finance – Division of Service records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of

material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Division of Service, Department of Finance, and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular meetings.

Providing Services

Central Mail Room

Monthly Invoices to State Agencies for Mail Processing and Supplies

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Notices for Incorrect Invoices

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Special Work Orders Relating to Mail Processing

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Requests for Warrants for Stamps

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Electronic Mail Processing and Tracking System Database

Disposition: Temporary Record. Retain until no longer useful.

Fleet Management

Vehicle Rental Records (Printouts from the Fleet Management System Database)

Disposition: Temporary Record. Retain 1 month after end of the month in which the records were created.

Monthly Invoices to State Agencies for Vehicle Rentals and Maintenance (Printouts from the Fleet Management System Database)

Disposition: Temporary Record. Retain 1 year after end of the fiscal year in which the records were created.

Fleet Management System Database

Disposition: Temporary Record. Retain data for 3 years or until no longer useful, whichever is later.

State Vehicle Accident Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

State Vehicle Repair/Maintenance Records

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Gasoline Usage Reports

Disposition: Temporary Record. Retain 1 year after end of the fiscal year in which the records were created.

Reports/surveys documenting the state's fulfillment of the requirements of the U. S. Department of Energy relating to alternative fueled vehicles purchased by the state

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

State Building and Space Management**STATE CAPITOL BUILDING HISTORICAL FILES**

Disposition: PERMANENT RECORD.

Routine State Building Equipment and System Inspection/Maintenance/Repair Files (elevators, fire alarm system, fire extinguish sprinkler system, emergency generators, etc.)

Disposition: Temporary Record. Retain 10 years after end of the fiscal year in which the records were created.

Agreements/Contracts (installation, janitorial, repair, maintenance, pest control, etc.)

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the agreement/contract expired.

Shop Work Orders**(carpentry, electrical, heating/air conditioning, groundskeeping, painting, plumbing, etc.)**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Building Accident Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the case was settled.

State Buildings and Space Management Lease Tracking Database

Disposition: Temporary Record. Retain until no longer useful.

Administering Internal Operations: Managing the Agency

WEBSITE

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive-It]. Check the ADAH section of the Archive-It website at www.archive-it.org/organizations/62 to ensure your agency's website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Records Division at 334-242-4452 to get them included.)

Staff Meeting Minutes/Notes

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Telephone Call Records

Disposition: Temporary Record. Retain for useful life.

Mailing/Contact Lists

Disposition: Temporary Record. Retain for useful life.

Invoices (sent or received)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting contracts for services or property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting employee hours worked, leave earned and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file (original copies only)

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Records documenting the implementation of the division's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

**Original copies of Division of Service's financial transactions, personnel, and property management records are maintained by other divisions of the Finance Department. Therefore, duplicate copies of these records maintained by the Division of Service are not subject to retention requirements.*

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Division of Service (hereafter referred to as the division) as stipulated in this document.

One condition of this authorization is that the division submit an annual Records Disposition Authority Implementation Report on division records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the division should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The division should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the division, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the division’s approved RDA.
- Permanent records in the division’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur division-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The division should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the division maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The division is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management

system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the division and inspect records destruction documentation. Government Records Division archivists are available to instruct the division staff in RDA implementation and otherwise assist the division in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 23, 2013.

Steve Murray, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Sean P. Cassidy, Chief
Division of Service

Date

Bill Newton, Acting Director
Department of Finance

Date